



**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of:

Examiner: Unknown

Li-Wen Chen, et al.

Serial No. 09/827,969

Art Unit: 2161

Filed: April 4, 2001

Title: Method and System for Decision Support Analysis

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Commissioner for Patents  
Washington, D.C. 20231

**LETTER TO THE OFFICIAL DRAFTSPERSON  
(Request to Substitute Drawings)**

Sir:

Subject to the approval of the Primary Examiner in the above-entitled patent application, please substitute the enclosed eighteen (18) sheets of drawings, containing Figures 1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11A, 11B, 11C, 11D, 11E, 11F, 12, and 13, for the eighteen (18) sheets of informal drawings containing Figures 1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11A, 11B, 11C, 11D, 11E, 11F, 12, and 13 as previously filed on April 4, 2001.

**REMARKS**

Applicants respectfully submit that the requested drawing substitution is consistent with the corresponding material in the specification and does not add any new matter to the application.


Should the Examiner have any questions concerning this request, the Examiner is invited to call the undersigned at the number shown below.

The Commissioner is hereby authorized to charge payment for any deficiency of required fees associated with this communication to Deposit Account 05-0150. A duplicate of this transmittal is enclosed.

Date: 8/29/01

Squire, Sanders & Dempsey L.L.P.  
600 Hansen Way  
Palo Alto, CA 94304-1043  
Telephone (650) 856-6500  
Facsimile (650) 843-8777

Respectfully submitted,  
Li-Wen Chen, et al.

By:   
Paul A. Durdik  
Attorney for Applicants  
Registration No. 37,819

CERTIFICATE OF MAILING

I hereby certify that this paper (along with any paper referred to as being attached or enclosed) is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to the Commissioner for Patents, Washington, D.C. 20231, on

Date: 8/29/01

By: 

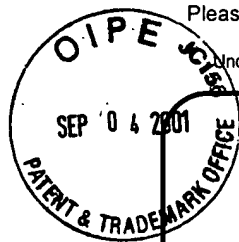
Paul A. Durdik

Please type a plus sign (+) inside this box → ☐

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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**TRANSMITTAL  
FORM**

(to be used for all correspondence after initial filing)

<b>TRANSMITTAL FORM</b> (to be used for all correspondence after initial filing)	<b>Application Number</b>	09/827,969	
	<b>Filing Date</b>	April 4, 2001	
	<b>First Named Inventor</b>	Li-Wen Chen, et al.	
	<b>Group Art Unit</b>	2161	
	<b>Examiner Name</b>	Unknown	
<b>Total Number of Pages in This Submission</b>	32	<b>Attorney Docket Number</b>	52719.00017

**ENCLOSURES (check all that apply)**

<input checked="" type="checkbox"/> Fee Transmittal Form (in duplicate)  <input type="checkbox"/> Fee Attached  <input type="checkbox"/> Amendment / Response <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s)  <input type="checkbox"/> Extension of Time Request  <input type="checkbox"/> Express Abandonment Request  <input type="checkbox"/> Information Disclosure Statement  <input type="checkbox"/> Certified Copy of Priority Document(s) <input checked="" type="checkbox"/> Response to Missing Parts/ Incomplete Application (in duplicate) <input checked="" type="checkbox"/> Response to Missing Parts under 37 CFR 1.136(a)	<input type="checkbox"/> Assignment Papers (for an Application) <input checked="" type="checkbox"/> 18 pages of Formal Drawings (consisting of Figures 1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11A, 11B, 11C, 11D, 11E, 11F, 12, and 13) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund  <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences  <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information  <input type="checkbox"/> Status Letter  <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):  Copy of Notice to File Corrected Application Papers Petition for Extension of Time (in duplicate) Letter to the Official Draftsperson (in duplicate) Return Receipt Postcard
<b>Remarks</b>		

**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

Firm or Individual name	Paul A. Durdik, Esq., Reg. No. 37,819 Squire, Sanders & Dempsey L.L.P. 600 Hansen Way Palo Alto, CA 94304
Signature	
Date	August 29, 2001

**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date: August 29, 2001			
Typed or printed name	Paul A. Durdik		
Signature		Date	August 29, 2001

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.



# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$ ) 195

## Complete if Known

Application Number	09/827,969
Filing Date	April 4, 2001
First Named Inventor	Li-Wen Chen, et al.
Examiner Name	Unknown
Group / Art Unit	2161
Attorney Docket No.	52719.00017

## METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:Deposit  
Account  
Number

05-0150

Deposit  
Account  
Name

Squire, Sanders &amp; Dempsey LLP

☒ Charge Any Additional Fee Required  
Under 37 CFR 1.16 and 1.17☒ Applicant claims small entity status.  
See 37 CFR 1.272. ☐ Payment Enclosed:☐ Check ☐ Credit card ☐ Money  
Order ☐ Other

## FEE CALCULATION

## 1. BASIC FILING FEE

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
101	710	201	355	Utility filing fee	
106	320	206	160	Design filing fee	
107	490	207	245	Plant filing fee	
108	710	208	355	Reissue filing fee	
114	150	214	75	Provisional filing fee	

SUBTOTAL (1)

(\$ ) 0

## 2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
	0	X	0
Independent Claims	0	X	0
Multiple Dependent		X	0

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	270	204	135	Multiple dependent claim, if not paid
109	80	209	40	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2)

(\$ ) 0

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

## 3. ADDITIONAL FEES

Large Entity Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet.	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	390	216	195	Extension for reply within second month	195
117	890	217	445	Extension for reply within third month	
118	1,390	218	695	Extension for reply within fourth month	
128	1,890	228	945	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,240	241	620	Petition to revive - unintentional	
142	1,240	242	620	Utility issue fee (or reissue)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	130	123	130	Petitions related to provisional applications	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	710	246	355	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	710	249	355	For each additional invention to be examined (37 CFR § 1.129(b))	
179	710	279	355	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

(\$ ) 195

## SUBMITTED BY

## Complete (if applicable)

Name (Print/Type)	Paul A. Durdik	Registration No. Attorney/Agent)	37,819	Telephone	(650) 856-6500
Signature				Date	August 29, 2001

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of:

Examiner: Unknown

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Serial No. 09/827,969

Art Unit: 2161

Filed: April 4, 2001

Title: Method and System for Decision Support Analysis

Commissioner for Patents  
Washington, D.C. 20231

**RESPONSE TO NOTICE TO FILE CORRECTED APPLICATION PAPERS**

Dear Sir:

In response to the Notice to File Corrected Application Papers mailed on May 14, 2001 in the above-identified application, enclosed herewith are the substitute drawings needed to correct various informalities to comply with 37 CFR 1.84.

Enclosed herewith are the following:

- 1) Copy of Notice to File Corrected Application Papers;
- 2) Response to Notice to File Corrected Application Papers (in duplicate);
- 3) Substitute Drawings with top margin of at least 1 inch, a left side margin of at least 1 inch, a right side margin of at least 5/8 inch, and a bottom margin of at least 3/8 inch;
- 4) Transmittal form;
- 5) Fee Transmittal form (in duplicate);
- 6) Petition for Extension of Time (in duplicate);
- 7) Letter to the Official Draftsperson (in duplicate); and
- 8) Return Receipt Postcard

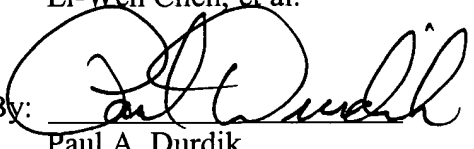
If the Examiner has any questions or needs additional information, the Examiner is invited to telephone the undersigned attorney at (650) 856-6500.

If for any reason an insufficient fee has been paid, please charge the insufficiency to Deposit Account No. 05-0150. A duplicate of this communication is enclosed.

Date: 8/29/01

Respectfully submitted,  
Li-Wen Chen, et al.

SQUIRE, SANDERS & DEMPSEY L.L.P.  
600 Hansen Way  
Palo Alto, California 94304-1043  
Telephone: (650) 856-6500  
Facsimile: (650) 843-8777

By:   
Paul A. Durdik  
Attorney for Applicants  
Registration No.: 37,819

CERTIFICATE OF MAILING

I hereby certify that this paper (along with any paper referred to as being attached or enclosed) is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to the Commissioner for Patents, Washington, D.C. 20231, on

Date: 8/29/01 By:   
Paul A. Durdik

## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/827,969	04/04/2001	Li-Wen Chen	52719.00017

CONFIRMATION NO. 5421

## FORMALITIES LETTER



Paul A. Durdik, Esq.  
Squire, Sanders & Dempsey L.L.P.  
600 Hansen Way  
Palo Alto, CA 94304-1043

Date Mailed: 05/14/2001

## NOTICE TO FILE CORRECTED APPLICATION PAPERS

*Filing Date Granted*

This application has been accorded an Application Number and Filing Date. The application, however, is informal since it does not comply with the regulations for the reason(s) indicated below. Applicant is given **TWO MONTHS** from the date of this Notice within which to correct the informalities indicated below. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a)

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
  - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. (5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);

*A copy of this notice **MUST** be returned with the reply.*

  
Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

703 308 1202